

FORM PTO-1390 (REV 10-94)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		10873.882USWO	
		U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) Filed herewith <b>10/089409</b>	
INTERNATIONAL APPLICATION NO. PCT/JP00/07796	INTERNATIONAL FILING DATE November 6, 2000	PRIORITY DATE CLAIMED November 12, 1999	
TITLE OF INVENTION OPTICAL DISK AND OPTICAL DISK DEVICE			
APPLICANT(S) FOR DO/EO/US AIKOH et al.			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(l).</li> <li>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input checked="" type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input checked="" type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>			
Items 11. to 16. below concern document(s) or information included:			
<ol style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>14. <input type="checkbox"/> A substitute specification.</li> <li>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> </ol>			
16. <input checked="" type="checkbox"/> Other items or information: PCT Request with its English translation; Form PCT/IB/301; Form PCT/IB/304; Form PCT/IB/308; Form PCT/IB/332; Form PCT/IB/346; PCT/IPEA/409; Written Amendment and its English translation; Written Reply; International Search Report.			

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.492(e)) Filed Herewith	INTERNATIONAL APPLICATION NO. PCT/JP00/07796	ATTY'S DOCKET NUMBER 10873.882USWO		
17. <input checked="" type="checkbox"/> The following fees are submitted:		CALCULATIONS PTO USE ONLY		
<b>BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):</b> Search Report has been prepared by the EPO or JPO.....\$890.00  International preliminary examination fee paid to USPTO (37 CFR 1.492(a)(1)).....\$710.00  No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$740.00  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(3)) paid to USPTO ..... \$1040.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) .....\$100.00				
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>		<b>\$890.00</b>		
Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).		\$0.00		
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	42	-20 = 22	X \$18.00	\$396.00
Independent claims	6	-3 = 3	X \$84.00	\$252.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$280.00	\$280.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>		<b>\$1818.00</b>		
Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27		\$0.00		
<b>SUBTOTAL =</b>		<b>\$1818.00</b>		
Processing fee of \$130.00 for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).		+ \$0.00		
<b>TOTAL NATIONAL FEE =</b>		<b>\$1818.00</b>		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		+ \$40.00		
<b>TOTAL FEES ENCLOSED =</b>		<b>\$1858.00</b>		
		Amount to be: refunded	\$1858.00	
		charged	\$	
a. <input checked="" type="checkbox"/> Check(s) in the amount of <u>\$1818.00</u> and <u>\$40.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-2725</u> .				
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>				
SEND ALL CORRESPONDENCE TO: Douglas P. Mueller MERCHANT & GOULD P.O. Box 2903 Minneapolis, MN 55402-0903		SIGNATURE:  NAME: Douglas P. Mueller REGISTRATION NUMBER: 30,300		

Applicant: AIKOH et al.

Docket: 10873.882USWO

Title: &gt;OPTICAL DISK AND OPTICAL DISK DEVICE

JC10 Rec'd PCT/PTO 28 MAR 2002

## CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EV036307915US

Date of Deposit: March 28, 2002

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

By:   
Name: Chris Stordahl

BOX PCT

Commissioner for Patents  
Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- National Stage PCT Patent Application: Spec. 28 pgs; 17 claims; Abstract 1 pgs.  
The fee has been calculated as shown below in the 'Claims as Filed' table.
- 3 sheets of formal drawings
- A signed Combined Declaration and Power of Attorney
- Assignment of the invention to Matsushita Electric Industrial Co., Ltd., Recordation Form Cover Sheet
- A check in the amount of \$1818.00 to cover the Filing Fee
- A check for \$40.00 to cover the Assignment Recording Fee.
- Application Data Sheet, 4 pages.
- Other: PCT Request with its English translation; Form PCT/IB/301; Form PCT/IB/304; Form PCT/IB/308; Form PCT/IB/332; Form PCT/IB/346; PCT/IPEA/409; Written Amendment and its English translation; Written Reply; International Search Report.
- Return postcard

## CLAIMS AS FILED

Number of Claims Filed	In Excess of:	Number Extra	Rate	Fee
<b>Basic Filing Fee</b>				\$890.00
<b>Total Claims</b>				
42	- 20	= 22	x 18.00 =	\$396.00
<b>Independent Claims</b>				
6	- 3	= 3	x 84.00 =	\$252.00
<b>MULTIPLE DEPENDENT CLAIM FEE</b>				\$280.00
<b>TOTAL FILING FEE</b>				<b>\$1818.00</b>

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

By: 

Name: Douglas P. Mueller

Reg. No.: 30,300

Initials: D. Mueller:hb



(PTO TRANSMITTAL - NEW FILING)